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PATENT & TRADEMARK OFFICE

IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Scot Leerssen et al.

Confirmation Number:

Application No.: 09/896,242

Examiner: N/A

Filing Date: 06/29/2001

Group Art Unit: N/A

Title: SYSTEM AND METHOD FOR AUDITING SYSTEM CALL EVENTS WITH SYSTEM CALL WRAPPERS

COMMISSIONER FOR PATENTS  
Washington, D.C. 20231

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INFORMATION DISCLOSURE STATEMENT

Technology Center 2100

Sir:

This Information Disclosure Statement is submitted:

- ( ) under 37 CFR 1.97(b), or  
(Within three months of filing national application; or date of entry of national application; or before mailing date of first office action on the merits; whichever occurs last)
- (X) under 37 CFR 1.97 (c) together with either a:  
(X) Statement under 37 CFR 1.97(e), or  
( ) a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ( ) under 37 CFR 1.97 (d) together with a:  
( ) Statement under 37 CFR 1.97(e)(1) or (2), and  
( ) a \$180.00 fee set forth in 37 CFR 1.17(p).  
(Filed after final action, a notice of allowance, on or before before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the pendency of this application, please charge any fees required or credit any overpayment to Deposit Account **08-2025** pursuant to 37 CFR 1.25.

(X) Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may be material to the examination of this application and for which there may be a duty to disclose in accordance with 37 CFR 1.56.

( ) A concise explanation of the relevance of foreign language patents, foreign language publications and other foreign language information listed on PTO Form 1449, as presently understood by the individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English language version of the search report or action which indicates the degree of relevance found by the foreign office is listed on form PTO 1449 and is enclosed herewith.

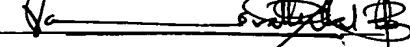
It is requested that the information disclosed herein be made of record in this application.

(X) I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231. Date of Deposit: April 4, 2003

OR

( ) I hereby certify that this paper is being transmitted to the Patent and Trademark Office facsimile number \_\_\_\_\_ on \_\_\_\_\_  
Number of pages: \_\_\_\_\_

Typed Name: John Pallivathukal

Signature: 

Respectfully submitted,

Scot Leerssen et al.

By 

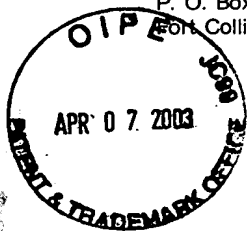
Jody C. Bishop

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Reg. No. 44,034

Date: April 4, 2003

Telephone No.: (214) 855-8007



IN THE  
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Scott Leerssen et al.

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Washington, D.C. 20231

STATEMENT UNDER 37 CFR 1.97(e)


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The undersigned hereby certifies that either:

- (X) Each item of information contained in the Information Disclosure Statement was cited for the first time in a communication from a foreign patent office in a counterpart foreign application, not more than three months prior to the filing of the statement, or
- ( ) No item of information contained in the Information Disclosure Statement
- was cited in a communication from a foreign patent office in a counterpart foreign application, and
  - to the knowledge of the undersigned, after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56 (c) more than three months prior to the filing of the Information Disclosure Statement.

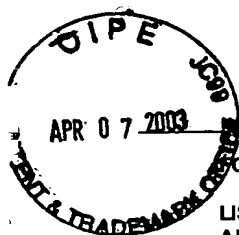
Respectfully submitted,  
Scott Leerssen et al.

By   
Jody C. Bishop

Attorney/Agent for Applicant(s)  
Reg. No. 44,034

Date: April 4, 2003

Telephone No.: (214) 855-8007



## PATENT APPLICATION

Sheet 1 of 1

FORM PTO-1449

LIST OF PATENTS AND PUBLICATIONS FOR  
APPLICANT'S INFORMATION DISCLOSURE  
STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

10013503-1

APPLICATION NO.

09/896,242

CONFIRMATION NO.

APPLICANT

Scott Leerssen et al.

FILING DATE

June 29, 2001

GROUP

N/A

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |    | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME        | Pages, Columns, Lines Where<br>Relevant Passages or Figures Appear |
|---------------------|----|--------------------|---------------------|-------------|--|
|                     | 1A | 5,491,808          | 02/13/1996          | Geist, Jr.  |  |
|                     | 1B | 5,925,126          | 07/20/1999          | Hsieh       |  |
|                     | 1C | 6,081,664          | 06/27/2000          | Nowlin, Jr. |  |
|                     | 1D |                    |                     |             |  |
|                     | 1E |                    |                     |             |  |
|                     | 1F |                    |                     |             |  |
|                     | 1G |                    |                     |             |  |
|                     | 1H |                    |                     |             |  |
|                     | 1I |                    |                     |             |  |
|                     | 1J |                    |                     |             |  |
|                     | 1K |                    |                     |             |  |

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## FOREIGN PATENT DOCUMENTS

|  |    | DOCUMENT<br>NUMBER | PUBLICATION<br>DATE | NAME OF PATENTEE<br>OR APPLICANT | Pages/Columns/Lines Where<br>Relevant Passages/Figures Appear | Check if<br>Translation<br>attached |
|--|----|--------------------|---------------------|----------------------------------|---|-------------------------------------|
|  | 1L | EP 0568717 A       | 11/10/1993          | IBM                              |   |                                     |
|  | 1M | EP 0801348 A       | 10/15/1997          | Hewlett-Packard                  |   |                                     |
|  | 1N | EP 0632377 A       | 01/04/1995          | Microsoft Corp.                  |   |                                     |
|  | 1O | EP 0654735 A       | 05/24/1995          | AT&T Corp.                       |   |                                     |
|  | 1P |                    |                     |                                  |   |                                     |

## OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

|  |    |  |
|--|----|--|
|  | 1Q | "Execution trace analysis of OS/2 2.DLLs Using an Intercept Layer," IBM Technical Disclosure Bulletin, March 1994 (2 pages). |
|  | 1R | Foreign Search Report dated January 15, 2003   |
|  | 1S |  |

EXAMINER

DATE CONSIDERED